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PTO/SB/21 (09-04)

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TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

80

Application Number 10/600,9901

Filing Date 06-20-2003

First Named Inventor McGinniss et al.

Art Unit 1712

Examiner Name Robertson, Jeffrey B.

Attorney Docket Number 12665DIV1

ENCLOSURES (Check all that apply)

- | | | |
|--|--|--|
| <input checked="" type="checkbox"/> Fee Transmittal Form
<input type="checkbox"/> Fee Attached
<input type="checkbox"/> Amendment/Reply
<input type="checkbox"/> After Final
<input type="checkbox"/> Affidavits/declaration(s)
<input type="checkbox"/> Extension of Time Request
<input type="checkbox"/> Express Abandonment Request
<input checked="" type="checkbox"/> Information Disclosure Statement

<input type="checkbox"/> Certified Copy of Priority Document(s)
<input type="checkbox"/> Reply to Missing Parts/ Incomplete Application
<input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53 | <input type="checkbox"/> Drawing(s)
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<input type="checkbox"/> Petition
<input type="checkbox"/> Petition to Convert to a Provisional Application
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<input type="checkbox"/> CD, Number of CD(s) _____
<input type="checkbox"/> Landscape Table on CD | <input type="checkbox"/> After Allowance Communication to TC
<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
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<input type="checkbox"/> Proprietary Information
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<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
IDS Letter; PTO-2038; Copies of US Patents prior to 1974; Copies of foreign and non-patent literature documents; Return Receipt Post Card |
|--|--|--|

Remarks

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm Name Battelle Memorial Institute

Signature

Printed name Klaus H. Wiesmann

Date 03-20-2006

Reg. No. 30,437

CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below:

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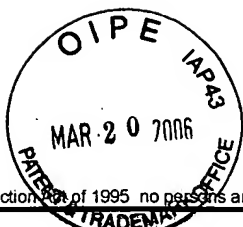
Typed or printed name

Judy Readman

Date 03-20-2006

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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PTO/SB/17 (01-06)

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Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818).

FEE TRANSMITTAL

For FY 2006

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ 180.00

Complete if Known

Application Number	10/600,901
Filing Date	06-20-2003
First Named Inventor	McGinniss et al.
Examiner Name	Robertson, Jeffrey B.
Art Unit	1712
Attorney Docket No.	12665DIV1

METHOD OF PAYMENT (check all that apply)☐ Check ☒ Credit Card ☐ Money Order ☐ None ☐ Other (please identify): _____☐ Deposit Account Deposit Account Number: _____ Deposit Account Name: _____

For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☐ Charge fee(s) indicated below, except for the filing fee☐ Charge any additional fee(s) or underpayments of fee(s) under 37 CFR 1.16 and 1.17 ☐ Credit any overpayments

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

FEE CALCULATION (All the fees below are due upon filing or may be subject to a surcharge.)**1. BASIC FILING, SEARCH, AND EXAMINATION FEES**

Application Type	FILING FEES		SEARCH FEES		EXAMINATION FEES		Fees Paid (\$)
	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	
Utility	300	150	500	250	200	100	
Design	200	100	100	50	130	65	
Plant	200	100	300	150	160	80	
Reissue	300	150	500	250	600	300	
Provisional	200	100	0	0	0	0	

2. EXCESS CLAIM FEES

Fee Description	Fee (\$)	Small Entity Fee (\$)
Each claim over 20 (including Reissues)	50	25
Each independent claim over 3 (including Reissues)	200	100
Multiple dependent claims	360	180
Total Claims	Extra Claims	Fee (\$)
- 20 or HP = _____ x _____ = _____		
HP = highest number of total claims paid for, if greater than 20.		
Indep. Claims	Extra Claims	Fee (\$)
- 3 or HP = _____ x _____ = _____		
HP = highest number of independent claims paid for, if greater than 3.		

3. APPLICATION SIZE FEE

If the specification and drawings exceed 100 sheets of paper (excluding electronically filed sequence or computer listings under 37 CFR 1.52(e)), the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).

Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof	Fee (\$)	Fee Paid (\$)
_____ - 100 = _____	_____ / 50 = _____	(round up to a whole number) x _____	= _____	

4. OTHER FEES(S)

Non-English Specification, \$130 fee (no small entity discount)

Other (e.g., late filing surcharge): IDS Fee _____

Fees Paid (\$)

\$180

SUBMITTED BY

Signature	<i>Klaus H. Wiesmann</i>	Registration No. (Attorney/Agent) 30,437	Telephone 614-424-6589
Name (Print/Type)	Klaus H. Wiesmann		Date 03-20-2006

This collection of information is required by 37 CFR 1.136. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 30 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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PATENT

Attorney Docket No. 12665DIV1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: McGinniss et al.

Serial No.: 10/600,901

Art Unit: 1712

Filed: 06-20-2003

Examiner: Robertson, Jeffrey B.

For: ELECTROOPTIC COMPOUNDS AND METHODS FOR MAKING SAME

**Date of Mailing "Notice of Allowance and Base Issue Fee
Due": November 22, 2005
Confirmation Number 6803**

Mail Stop Issue Fee
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

03/22/2006 SDENB081 00000030 10600901
01 FC:1806 180.00 OP

Dear Sir:

INFORMATION DISCLOSURE STATEMENT

1. Preliminary Statement

Applicants submit herewith patents, publications, or other information, of which they are aware that they believe may be material, as defined in 37 CFR § 1.56(b), to the examination of this application, and in respect of which, there may be a duty to disclose in accordance with 37 CFR § 1.56(a). While the information referred to in this Information Disclosure Statement may be material pursuant to 37 CFR §1.56(b), the filing of this Information Disclosure Statement is not intended, pursuant to 37 CFR §1.97(h), to constitute an admission that any patent, publication, or other information referred to is, or is considered to be, material to the patentability of this invention. Further, pursuant to 37 CFR §1.97(g), the filing of this Information Disclosure Statement should not be construed as a statement that a

search has been made or that no other material information exists. The filing of this information disclosure statement shall not be construed as an admission against interest in any manner.

2. Transmitted herewith and forming a part of this Information Disclosure Statement is form PTO/SB/08A (1 sheets) and PTO/SB/08B (1 sheet) on which are listed cited items of information. Enclosed are copies of US patents prior to 1976, all non-US patent citations and non-patent literature documents.

The following references are cited:

US Patent Documents:

A1	3,392,199	Middleton	07-09-1968
A2	4,552,694	Ishikawa	11-12-1985
A3	4,476,577	Pantelis et al.	05-24-1988
A4	5,155,195	Feuer	10-13-1992
A5	5,286,803	Lindasy et al.	02-15-1994
A6	5,328,994	Berneth et al.	07-12-1994
A7	5,684,094	Suzuki et al.	11-04-1997
A9	6,361,717	Dalton et al.	03-26-2002
A11	6,410,640	Fukunaga et al.	06-25-2005
A12	5,321,084	Cross et al.	06-14-1994

Foreign Patent Documents:

A13	EP 0 498 184 A2	Kishimoto et al.	08-12-1992
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Other Art - Non-Patent Literature Documents:

B1 - Henderson et al.; Thermal, Optical and Nonlinear Optical Properties of Tetrafluorinated Donor-Acceptor Benzenes; Chem. Mater.: 1993, 5; pp 1059-1060

B2 - Nicoud J.F.; Molecular and Crystal Engineering for Organic Nonlinear Optical Materials; Mol. Cryst. Liq. Cryst.; 1988; Vol. 156; pp 257-268

B3 - Galvan-Gonzalez et al.; Photodegradation of Azobenzene Nonlinear Optical Chromophores: The Influence of Structure and Environment; J. Opt. Soc. Am.; Vol. 17; No. 12; 12/2000; pp 1992-2000

B4 - Database WPI, Section Ch, Week 199623; Derwent Publications Ltd.; London, GB; Class A89 AN 1996-226351; XP002333517; JP 08 087040; April 2, 1996

B5 - Database WPI; Section Ch. Week 199328; Derwent Publications Ltd.; London, GB; Class A28, AN 1993-221411; XP002333518; JP 05 142600; June 11, 1993


B6 - Schrader et al.; New Chromophores and Polymers For Second Order Nonlinear Optics; Proceeding of Soc. For Optical Eng.; Vol. 3474; 1998; pp 160-171

B7 - Schrader, Sigurd; Molecular Substitution and Nonlinear Optical Properties of Chromophores; Proceedings of Soc. For Optical Eng.; Vol. 2968; 1997; pp 44-49

3. Enclosed herewith is the fee of \$180 for submission of this Information Disclosure Statement as specified in 37 CFR §1.17(p).

The person making this statement is the practitioner who signs below on the basis of the information in the practitioner's file.

Respectfully submitted,

A handwritten signature in black ink, appearing to read 'Klaus H. Wiesmann', written in a cursive style.

Registration No. 30,437

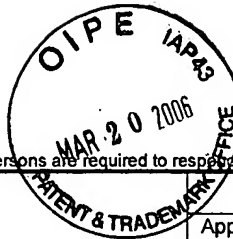
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March 20, 2006

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PTO/SB/08A (07-05)

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Substitute for form 1449/PTO

Complete if Known

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 1 of 2

Application Number	10/600,901
Filing Date	06-20-2003
First Named Inventor	McGinniss et al.
Art Unit	1712
Examiner Name	Robertson, Jeffrey B.
Attorney Docket Number	12664DIV1

U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
	A1	US- 3,392,199	07-09-1968	Middleton	
	A2	US- 4,552,694	11-12-1985	Ishikawa	
	A3	US- 4,746,577	05-24-1988	Pantelis et al.	
	A4	US- 5,155,195	10-13-1992	Feuer	
	A5	US- 5,286,803	02-15-1994	Lindsay et al.	
	A6	US- 5,328,994	07-12-1994	Berneth et al.	
	A7	US- 5,684,094	11-04-1997	Suzuki et al.	
	A9	US- 6,361,717	03-26-2002	Dalton et al.	
	A11	US- 6,410,640	06-25-2005	Fukunaga et al.	
	A12	US- 5,321,084	06-14-1994	Cross et al.	
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		US-			

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T ⁶
		Country Code ³ Number ⁴ Kind Code ⁵ (if known)				
	A13	EP 0 498 184 A2	08-12-1992	Kishimoto et al.		

Examiner
SignatureDate
Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

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Substitute for form 1449/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use as many sheets as necessary)</i>		Complete if Known			
		Application Number	10/600,901		
		Filing Date	06-20-2003		
		First Named Inventor	McGinniss et al.		
		Art Unit	1712		
		Examiner Name	Robertson, Jeffrey B.		
Sheet	2	of	2	Attorney Docket Number	12665DIV1

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	B1	HENDERSON ET AL.; Thermal; Optical and Nonlinear Optical Properties of Tetrafluorinated Donor-Acceptor Benzenes; Chem. Mater.; 1993, 5; pp 1059-1060	
	B2	NICOUD, J.F.; Molecular and Crustal Engineering For Organic Nonlinear Optical Materials; Mol. Cryst. Liq. Cryst.; 1988; Vol. 156; pp. 257-268	
	B3	GALVAN-GONZALEZ et al.; Photodegradation of Azobenzene Nonlinear Optical Chromophores: The Influence of Structure and Environment; J. Opt. Soc. Am.; V 17; No 12; 12/2000; pp 1992-2000	
	B4	Database WPI, Section Ch, Weel 199623; Derwent Publications Ltd.; London, GB; Class A89 AN 1996-226351; XP002333517; JP 08 087040; April 2, 1996	
	B5	Database WPI; Section Ch, Week 199328; Derwent Publications Ltd.; London, GB; Class A28, AN 1993-221411; XP002333518; JP 05 142600; June 11, 1993	
	B6	SCHRADER et al.; New Chromophores and Polymers For Second Order Nonlinear Optics; Proceeding of Soc. For Optical Eng.; Vol. 3474; pp 160-171; 1998	
	B7	SCHRADER, SIGURD; Molecular Substitution aand Nonlinear Optical Properties of Chromophores; Proceedings of Soc. For Optical Eng.; Vol. 2968; pp 44-49; 1997	

Examiner Signature		Date Considered	
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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